



Docket No. 740709-493 #3

1713 8/13/02
83

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re PATENT Application of)
Katsumasa HARADA et al.) Art Unit: 1713
Serial No. 10/030,251 ✓) Examiner: Unassigned
Filed: January 9, 2002 ✓)
For: PROCESS FOR PREPARING)
DIBENZOTHAZEPINE DERIVATIVES ✓)

COPY OF PAPERS
ORIGINALLY FILED

CERTIFICATE OF MAILING
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231, on 7/16/2002.

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents and Trademarks
Washington, D.C. 20231

Sir:

In accordance with the provisions of 37 C.F.R. 1.56 and 37 C.F.R. 1.97-1.99, it is requested that the references listed on the attached Form PTO-1449 be made of record in the above-identified application.

The references listed on the attached Form PTO-1449 were cited in an International Search Report of a counterpart PCT application, namely PCT/JP99/03719 mailed October 19, 1999. Copies of the references are submitted herewith in accordance with 37 C.F.R. 1.98(a), along with a copy of the PCT.

The documents are being submitted within three (3) months of the filing of this application or entry into the national stage of this application, or before the first Office Action on the merits, whichever is later, therefore no fee or certification is required under 37 C.F.R. § 1.97(b).

The Commissioner is hereby authorized to charge fees under 37 C.F.R. §§1.16, 1.17, 1.20(a), 1.20(b), 1.20(c), and 1.20(d) (except the Issue Fee) which may be required now or hereafter, or credit any overpayment to Deposit Account No. 19-2380 (740709-493).

RECEIVED
JUL 25 2002
TECHNOLOGY CENTER 1700
AUG 1 2 2002
TECH CENTER 1600/2900
RECEIVED



Respectfully submitted,

Jeffrey L. Costellia
Registration No. 35,483

COPY OF PAPERS
ORIGINALLY FILED

NIXON PEABODY LLP
8180 Greensboro Drive, Suite 800
McLean, Virginia 22102
(703) 790-9110

RECEIVED
JUL 25 2002
TECHNOLOGY CENTER 1700

OIPE
 JUL 22 2002
 PATENT & TRADEMARK OFFICE

#3

Please type a plus sign (+) inside this box → [+]

PTO/SB/08A (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO				Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>				Application Number	10/030,251
				Filing Date	January 9, 2002
				First Named Inventor	Katsumasa HARADA et al.
				Group Art Unit	1713
				Examiner Name	Unassigned
Sheet	1	of	1	Attorney Docket Number	740709-493

U.S. PATENT DOCUMENTS						
Examiner Initials ¹	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
		COPY OF PAPERS ORIGINALLY FILED				

FOREIGN PATENT DOCUMENTS							
Examiner Initials ¹	Cite No. ¹	Foreign Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴ (if known)				
			JP 11-199574	Y. KIYOTAKA et al.	07/27/1999		
			WO 92-19607	R. NICOL et al.	11/12/1992		

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials ¹	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		International Search Report, Application No. PCT/JP 99-03719, Mailing Date: October 19, 1999	
		H. Heterocycl. Chem. 1975, 12(6), pp. 1211-1213	

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16, if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

¹ Unique citation designation number. ² Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

NVA233440.1

RECEIVED
 JUL 25 2002
 TECH. CENTER
 AUG 1 2 2002
 1600/2900